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**TELECOPIER TRANSMISSION COVER SHEET**

Docket No. 6311-005

**OFFICIAL**

Facsimile Number: (703) 308-7751

To: **Ms. Monica Young**  
**United States Patent and Trademark Office**

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Papers Being Transmitted:

Updated Filing Receipt dated October 2, 2001 and Request for Corrected Provisional Filing Receipt dated March 1, 2000.

Number of Pages Being Transmitted (including cover): 5

COMMENTS:

Ms. Young, please correct the filing receipt to incorporate the priority date of December 28, 1999. Please contact me if our request cannot be completed.

Thank you.

**CERTIFICATE OF FACSIMILE TRANSMISSION**

Serial No.: 09/750,417

Filed: December 27, 2000

I hereby certify that these papers are being sent via facsimile to the United States Patent and Trademark Office on the date shown below.

*Melissa Scanzillo*  
By: Melissa Scanzillo

Date: October 22, 2001

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NYA 380271.1



## UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/750,417	12/27/2000	2164	1484	6311-005	6	38	7

CONFIRMATION NO. 6939

## UPDATED FILING RECEIPT



\*OC000000006834158\*

Clifford Chance Rogers & Wells LLP  
200 Park Avenue  
New York, NY 10166

Date Mailed: 10/02/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Stuart J. Clenaghan, London, UNITED KINGDOM;  
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Tom Ineke, London, UNITED KINGDOM;  
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## Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/173,274 11/28/1999 \*  
(\* ) Data inconsistent with PTO records.

should be 12/28/99

## Foreign Applications

If Required, Foreign Filing License Granted 04/02/2001

Projected Publication Date: 01/10/2002

Non-Publication Request: No

Early Publication Request: No

## Title

Method and apparatus for selling financial instruments

**CERTIFICATE OF MAIL**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on

Date: MARCH 1, 2000Signature: Ronald Emerson

CLIFFORD CHANCE ROGERS &amp; WELLS LLP

CCR&amp;W Docket No. 6311-5

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of : Timothy Wood, Stuart Jerome Clenaghan  
Application Serial No: 60/173,274  
Filed : December 28, 1999  
For : METHOD AND APPARATUS FOR SELLING  
FINANCIAL INSTRUMENTS  
Primary Examiner : Not yet assigned  
Group Art Unit : Not yet assigned

Assistant Commissioner for Patents  
**BOX PROVISIONAL PATENT APPLICATION**  
Washington, D.C. 20231

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**REQUEST FOR A CORRECTED FILING RECEIPT**

S I R:

Enclosed please find a copy of the Express Mail Label EK071807033US for the above-captioned application which was mailed to the U.S. Patent and Trademark Office with the stamp **DECEMBER 28, 1999**. The attached Filing Receipt shows a filing date of 11/28/99. The Patent Office is respectfully requested to make the correction of the filing date to reflect **DECEMBER 28, 1999** and to issue a Corrected Filing Receipt.

Dated: 2/28/00

Respectfully submitted,

Joseph E. Levi

Reg. No. 41,152

Attorney for Applicants

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PTO-103P

(Rev. 6-99)

PROVISIONAL APPLICATION  
FILING RECEIPT

UNITED STATES DEPARTMENT OF COMMERCE  
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
60/173,274	11/28/99		\$150.00	6311/5		14	

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Applicant(s) TIMOTHY WOOD, STAMFORD, CT; STUART JEROME CLENAGHAN,  
LONDON, ENGLAND.

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 02/05/00  
TITLE  
METHOD AND APPARATUS FOR SELLING FINANCIAL INSTRUMENTS

DATA ENTRY BY: ELLIS-FREEMA, ANDREA TEAM: 05 DATE: 02/05/00



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